

Notice of Hearing

**STATE OF ILLINOIS
SECRETARY OF STATE
SECURITIES DEPARTMENT**

IN THE MATTER OF: JOHN W. BUCHER;

)
) **File No. C1800407**
)

NOTICE OF HEARING

TO THE RESPONDENT: JOHN W. BUCHER
c/o Andrew May
118 N. Clinton Street, St #100
Chicago, Illinois 60661

You are hereby notified that pursuant to §11(E) of the Illinois Securities Law of 1953 [815 ILCS 5] (the "Act") and 14 Ill. Adm. Code 130, Subpart K, a public hearing will be held at 69 West Washington Street, Suite 1220, Chicago, Illinois 60602, on December 20, 2018, at the hour of 10:00 a.m. or as soon as possible thereafter, before James Kopecky or such other duly designated Hearing Officer of the Secretary of State.

Said hearing will be held to determine whether the pending registration of John W. Bucher (CRD # 4110263) as a Salesperson is subject to sanctions under 815 ILCS 5/8(E)(1)(b) of the Illinois Securities Act, and/or granting such other relief as may be authorized under the Act including but not limited to the imposition of a monetary fine in the maximum amount pursuant to §11(E)(4) of the Act, payable within ten (10) business days of the entry of the Order.

The grounds for such proposed action are as follows:

1. From December 4, 2012 to March 13 John W. Bucher ("Respondent") was a Registered Representative for Securities Management & Research (CRD # 759), 2015
2. From January 9, 2018 to July 13, 2018 John W. Bucher was a Registered Representative at International Assets Advisory, LLC (CRD # 10645).
3. Respondent's last known address is 1504 Center Street, Whiting, Indiana 46394.
4. On March 13, 2015, Securities Management & Research reported on the Financial Industry Regulatory Authority's Web Central Registration Depository that Respondent was terminated from Securities Management & Research on the

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belief of Securities Management & Research that Respondent was involved in at least one case where a client's account at another Broker-Dealer was changed to reflect Respondent as the Representative of record without the client's permission.

5. On July 13, 2018, International Assets Advisory, LLC. reported on the Financial Industry Regulatory Authority's Web Central Registration Depository that Respondent was terminated as a Registered Representative with International Assets Advisory, LLC due to, among another reason, that International Assets Advisory, LLC. believed that Respondent was involved in at least one case where a signed but blank change of broker dealer form was altered by adding the customer name and account number.
6. 815 ILCS 5/8(E)(1)(b) of the Illinois Securities Act of 1953 permits the Illinois Securities Department to deny the registration of a salesperson if that individual has, *inter alia*, engaged in any fraudulent business practice.
7. By virtue of the foregoing, the Illinois Securities Department is permitted to deny the registration of Respondent as a Salesperson within the State of Illinois.

You are further notified that you are required, pursuant to Section 130.1104(a) of the Rules and Regulations (14 Ill. Adm. Code 130) (the "Rules"), to file an answer to the allegations outlined above within thirty (30) days of the receipt of this notice. A failure to file an answer within the prescribed time shall be construed as an admission of the allegations contained in the Notice of Hearing.

Furthermore, you may be represented by legal counsel; may present evidence; may cross-examine witnesses and otherwise participate. A failure to so appear shall constitute default, unless any Respondent has, upon due notice, moved for and obtained a continuance.

A copy of the Rules, promulgated under the Act and pertaining to hearings held by the Office of the Secretary of State, Securities Department are available at the Department's website: <http://www.cyberdriveillinois.com/departments/securities/abtil.html>.

Delivery of Notice to the designated representative of any Respondent constitutes service upon such Respondent.

Dated: This 9th Day of November 2018



JESSE WHITE
Secretary of State
State of Illinois

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